

Personal Conflict of Interest Disclosure Form
Subcontractor Employees
(September 10, 2020)

Print name and badge #: _____

Briefly describe the work you perform for UT-Battelle: _____

WHAT IS A PERSONAL CONFLICT OF INTEREST (PCOI)?

A PCOI arises when an individual who performs services for UT-Battelle has a personal or relational interest that creates, appears to create, or potentially creates conflicting motives, goals, or actions between:

- UT-Battelle’s expectation is that individuals will be fair and objective in performing assigned duties; and
- The individual’s personal interests or those of a spouse, significant other, children, or member of the individual’s household.

Because a PCOI can arise due to the mere appearance of a conflict or a potential conflict, the fact that a PCOI exists does not imply any wrongdoing. However, failure to report facts relevant to a PCOI is a serious violation of UT-Battelle’s ethical expectations for individuals in staff augmentation positions.

Examples of PCOI’s include – but are not limited to – the following situations:

- Having a close relative who works in the same ORNL organization as you.
- Making employment, business, contracting, or financial decisions that favor an individual you have a close relationship with.
- Using or disclosing non-public information from ORNL for personal benefit or for the benefit of a third party.
- Receiving gifts from vendors who do work for, or seek to do work for, UT-Battelle.
- Using one’s affiliation with ORNL as a basis for obtaining favors from vendors who do work, or seek to do work, for UT-Battelle.
- Unauthorized use or misuse of ORNL equipment, funds, or other assets for personal benefit or gain.
- Working for UT-Battelle within the last 6 months.

DISCLOSURE OF PCOI INFORMATION

Answer the following questions and, on the back of this form, provide detailed information that explains any “Yes” answer. (Note: “Yes” answers will not disqualify you from working at ORNL unless the facts cannot be mitigated.)

1. Do you have a financial interest or income from any entity that does business with UT-Battelle? Yes No
2. Does your spouse, child, significant other, or any member of your household work in the same ORNL organization as you? (If “Yes”, provide name and ORNL phone number.) Yes No
3. Are you aware of any other facts or circumstances that could lead to a possible PCOI, including the appearance of a PCOI or a potential PCOI? Yes No
4. Are you a retired employee of UT-Battelle, LLC? If yes, what was your separation date? Yes No

ACKNOWLEDGMENT: I certify that I have answered these questions to the best of my knowledge and belief, and the explanatory information provided on the reverse side (if any) is accurate and complete to the best of my knowledge. I further agree to promptly submit a new PCOI Disclosure Form if any facts or circumstances arise in the future that would result in a revision of my answers on this form.

Questions regarding this form should be discussed with the ORNL Office of General Counsel (865) 241-4961.

Signature

Date

Submit this form to your employer within 5 working days of commencing work for UT-Battelle.